



## This schedule applies to: Office of Financial Management

### Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Office of Financial Management relating to the unique functions of providing vital information, fiscal services and policy support that the Governor, Legislature and state agencies need to serve the people of Washington State. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

### Disposition of public records

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designation as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

### Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Office of Financial Management (and its predecessor agencies) are revoked. The Office of Financial Management must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

### Authority

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on December 5, 2012.

*Signature on File*

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## REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	October 5, 2011	Consolidation of all existing disposition authorities (with some minor revisions), including those relating to the functions and activities of the former Department of Information Services and the former Department of Personnel transferred to the Office of Financial Management on October 1, 2011. Disposition authorities for records relating to the functions and activities that were transferred from the Office of Financial Management to the newly created Department of Enterprise Services on October 1, 2011 were removed.
1.1	December 5, 2012	Archival designation for Personnel Resources Board Files and Exhibits (DAN 11-10-62837) changed to "Non-Archival".

For assistance and advice in applying this records retention schedule,  
please contact the Office of Financial Management's Records Officer  
or Washington State Archives at:

[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)



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## 1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration which are not covered by the *State Government General Records Retention Schedule*.

See *State Government General Records Retention Schedule* for additional records relating to agency management.

### 1.1 GENERAL OFFICE OPERATIONS

*The activity relating to the execution of routine agency/office administrative tasks.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-03-61974 Rev. 0	<b>Routine Data</b> Data used to support routine work functions, unless otherwise scheduled. Data is managed by individuals for routine work processes, where no legal or audit requirement exists to maintain the data beyond its administrative purpose.	<b>Retain</b> until administrative purpose served <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



## 1.2 POLICIES AND PROCEDURES

*The activity of creating systematic approaches to operations and processes.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-06-62461 Rev. 0	<b>National Standards, Policies, and Procedures</b> Standards, policies, procedures, notices, regulations, rules, orders, instructions, bulletins, directives, and similar guidance directive in nature issued by a professional national organization whose generally accepted principles and reporting requirements are followed and adhered to by state agencies. May include guidance from the Governing Accounting Standards Board (GASB) and other professional organizations.	<b>Retain</b> for 6 years upon implementation <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



### 1.3 REPORTING

*The activity of providing information to and received information from external organizations.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-09-61872 Rev. 0	<b>Federally Required Records – Outgoing</b> Records submitted by the Office of Financial Management to the federal government in fulfillment of a state or federal requirement, <b>and that are not covered by a more specific records series.</b> May include, but is not limited to, plans, proposals, reports, requests, recommendations, notifications, determinations, inventories, agendas, lists, directives, certifications, and related correspondence.	<b>Retain</b> for 6 years after date of submission <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
08-09-61870 Rev. 0	<b>Statutorily Required Records – Incoming</b> Records submitted to the Office of Financial Management by state agencies, commissions, elected officials, the Legislature, or other entities in fulfillment of a statutory requirement, <b>and that are not covered by a more specific records series.</b> May include, but is not limited to, plans, proposals, reports, request, recommendations, notifications, determinations, inventories, agendas, lists, directives, certifications, and related correspondence.	<b>Retain</b> for 6 years after date of submission <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
08-09-61871 Rev. 0	<b>Statutorily Required Records – Outgoing</b> Records submitted by the Office of Financial Management to state agencies, commissions, elected officials, the Legislature, or other entities in fulfillment of a statutory requirement, <b>and that are not covered by a more specific records series.</b> May include, but is not limited to, plans, proposals, reports, requests, recommendations, notifications, determinations, inventories, agendas, lists, directives, certifications, and related correspondence.	<b>Retain</b> for 6 years after date of submission <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



## 2. BUDGET COORDINATION

This section covers records relating to the function of planning, analyzing, and implementing the state's operating and capital budgets including making budget recommendations to the Governor, presenting the Governor's budget proposal to the Legislature, and monitoring state agency activities for conformance with executive and legislative intent.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-05-61193 Rev. 0	<b>Agency Budget Request Submittals</b> Capital and operating budget requests submitted by state agencies for inclusion in the Governor's budget proposal to the Legislature (required by RCW 43.88).	<b>Retain</b> for 6 years after submittal of budget <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
09-06-62035 Rev. 0	<b>Budget Data</b> Budget data used in planning, analysis, implementation, and monitoring of state budgets, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of five biennia of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 10 years after end of biennium <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
83-01-31000 Rev. 2	<b>Fiscal Note Data</b> Provides documentation of anticipated fiscal impact of proposed legislature bills and resolutions (RCW 43.88A.020).	<b>Retain</b> for 6 years after final biennia <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-03-61764 Rev. 0	<b><i>Taxpayer Protection Act of 2007 Records</i></b> Records related to implementation and application of the Taxpayer Protection Act of 2007 for tax and fee proposals (RCW 43.88A.020, 43.135.031, 43.135.035, 43.135.055).	<b>Retain</b> for 6 years after end of biennium <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



### 3. EXECUTIVE POLICY

This section covers records relating to policy research, support, and development of policy goals for the Governor and the executive branch.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88-02-41695 Rev. 1	<b>Enrolled Bill Analyses</b> Provides documentation of analyses of all enrolled bills that are delivered to the Governor for signature.	<b>Retain</b> for 6 years after end of fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
88-02-41696 Rev. 1	<b>Proposed Bill Analyses</b> Provides documentation of analyses of proposed legislation.	<b>Retain</b> for 6 years after end of fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
88-02-41697 Rev. 1	<b>Sunset Review Working Papers</b> Provides documentation of staff work performed by OFM in conducting its portion of Sunset Reviews.	<b>Retain</b> for 6 years after end of fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM



## 4. FORECASTING AND POPULATION

This section covers records relating to estimates of state and local population, monitoring changes in the state economy and labor force, and conducting research on a variety of issues affecting the state budget and public policy.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88-02-41701 Rev. 1	<b><i>Annexations to Cities and Towns</i></b> Legal certifications of all area and population increases to cities and towns resulting from annexations, including annexation certificates, quarterly reports, and supplemental documentation (maps of annexed areas, ordinances, and legal descriptions).	<b>Retain</b> for 20 years after end of fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
09-03-61980 Rev. 0	<b><i>Forecasting Data</i></b> Forecasting data used to estimate, forecast, and report on the state's economy, revenues, enrollment, demographic characteristics, and caseloads, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of six years of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 6 years after termination of system or transfer of data to a new system <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-03-61981 Rev. 0	<b>Population Data</b> Data used to estimate, forecast, and report on the state's population unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of 20 years of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 20 years after termination of system or transfer of data to a new system <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
88-02-41703 Rev. 1	<b>Population Estimates and Forecast</b> Census, survey, and support data for official population and forecasts of Washington state and local government, including population, race, age, sex, housing, and licensing data.	<b>Retain</b> for 20 years after end of fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR



## 5. INFORMATION TECHNOLOGY POLICY

This section covers records relating to the coordination of information technology policy.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62831 Rev. 0	<b><i>Information Technology Portfolios and Compliance Letters</i></b> Provides a record of these policies that were updated at that period of time. <i>Note: Replaces DAN 89-02-42752 granted to the former Department of Information Services.</i>	<b>Retain</b> for 7 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



## 6. LABOR RELATIONS COORDINATION

This section covers records relating to negotiating master agreements on behalf of the Governor with union-represented employees in accordance with the Personnel System Reform Act of 2002.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-08-62288 Rev. 0	<b><i>Labor Union Contracts and Negotiations</i></b> Records of labor union contract and supplemental negotiations. May include contracts, employer and union proposals, counter-proposals, notices and negotiations related to changes to mandatory subjects, memoranda of understanding, letters of agreement, and related correspondence.	<b>Retain</b> for 10 years after contract superseded or terminated then <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
09-06-62036 Rev. 0	<b><i>Labor Relations Data</i></b> Salary, personnel, and financial data used to analyze and predict the financial impact of labor negotiations, and to develop and analyze budget proposals, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of six years of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 6 years after termination of system or transfer of data to a new system then <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 7. STATE HUMAN RESOURCE OFFICE

This section covers records relating to functions and activities of the State HR Director's Office.

### 7.1 HR RULES AND APPEALS

*The activity of employee appeals.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62833 Rev. 0	<b>Allocation Reviews</b> Files, records, exhibits and Director's decision on allocation appeals requested. <i>Note: Replaces DAN 80-09-25603 granted to the former Department of Personnel.</i>	<b>Retain</b> for 7 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62834 Rev. 0	<b>Non-Allocation Reviews</b> Files, records, exhibits and Director's decision on non-allocation appeals requested. <i>Note: Replaces DAN 80-09-25602 granted to the former Department of Personnel.</i>	<b>Retain</b> for 7 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62836 Rev. 0	<b>Personnel Resources Board Appeals Orders</b> Records of orders issued by the Personnel Resources Board used as reference material for current hearings. <i>Note: Replaces DAN 89-06-44475 granted to the former Department of Personnel.</i>	<b>Retain</b> for 50 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



## 7.1 HR RULES AND APPEALS

*The activity of employee appeals.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62837 Rev. 1	<b>Personnel Resources Board Files and Exhibits</b> Files, records and exhibits on Personnel Resources Board appeals requested. <i>Note: Replaces DAN 89-06-44474 granted to the former Department of Personnel.</i>	<b>Retain</b> for 6 years after appeal completed <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62838 Rev. 0	<b>Voice Recording of Personnel Resources Board Appeal Hearings</b> Verbatim recordings of Personnel Resources Board appeal hearings. <i>Note: Replaces DAN 89-06-44477 granted to the former Department of Personnel.</i>	<b>Retain</b> for 3 months after final order issued <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



## 7.2 WORKFORCE PLANNING

*The activities of classification, compensation, Director's reviews, and workforce diversity.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62832 Rev. 0	<b>Actions Requiring Director's Approval</b> Provides a record of Non-Perm Extension requests, Alternate Application requests, Alternate Employee Performance Planning and Evaluation form requests, and other requested actions from agencies and institutions that require approval by the Director. <i>Note: The secondary copy is retained by the State HR Office, the primary copy is sent to the agencies/institutions.</i> <i>Note: Replaces DAN 08-03-61763 granted to the former Department of Personnel.</i>	<b>Retain</b> for 5 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62842 Rev. 0	<b>Compensation Plans</b> Provides a record of each successive state Merit System Compensation Plan since 1956. Used to reconstruct class and pay distinctions. <i>Note: Replaces DAN 88-12-43389 granted to the former Department of Personnel.</i>	<b>Retain</b> for 20 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR
11-10-62847 Rev. 0	<b>Equal Employment Opportunity Report</b> Report to Federal Government Equal Employment Opportunity Commission on the state Workforce Diversity/Affirmative Action Program. Title 29, Chapter XIV Code of Federal Regulations "Such records and the information there from shall be retained at all times for a period of 3 years at the central office of the political jurisdiction." <i>Note: Replaces DAN 82-04-29807 granted to the former Department of Personnel.</i>	<b>Retain</b> for 7 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



## 7.2 WORKFORCE PLANNING

*The activities of classification, compensation, Director's reviews, and workforce diversity.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62839 Rev. 0	<b>Exempt Position Files</b> Provides a record of exempt positions, descriptions and related correspondence of current and previous exempt positions used for salary management. <i>Note: Replaces DAN 88-12-43387 granted to the former Department of Personnel.</i>	<b>Retain</b> for 75 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
11-10-62840 Rev. 0	<b>Job Specification File</b> Provides a record of classification specifications with each succeeding version and dates of approved changes and related correspondence. <i>Note: Replaces DAN 88-12-43388 granted to the former Department of Personnel.</i>	<b>Retain</b> for 50 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
11-10-62835 Rev. 0	<b>Personnel Board/Director's Meeting Files</b> Records of the Personnel Board/Director's meeting which includes meeting minutes (secondary copy), verbatim recordings/tapes, agendas, exhibits, notices containing discussions, decisions and recommendations and supporting documentation from analysts. <i>Note: Replaces DAN 82-10-30406 granted to the former Department of Personnel.</i>	<b>Retain</b> for 40 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 7.2 WORKFORCE PLANNING

*The activities of classification, compensation, Director's reviews, and workforce diversity.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62841 Rev. 1	<b>Position Profile Report</b> Report of classified staff population profile - 1986 to present. <i>Note: Replaces DAN 95-10-56076 granted to the former Department of Personnel.</i>	<b>Retain</b> for 40 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
11-10-62843 Rev. 0	<b>Salary Exception Requests</b> Provides a record of salary exception or special pay requests from agencies and institutions for recruitment and retention purposes that require approval by the Director. <i>Note: Replaces DAN 07-09-61609 granted to the former Department of Personnel.</i>	<b>Retain</b> for 5 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62844 Rev. 0	<b>Salary Survey Data</b> Computer Printouts, questionnaires, reports, and related correspondence providing necessary input data to develop recommendations for state employees' salaries. <i>Note: Replaces DAN 77-12-20118 granted to the former Department of Personnel.</i>	<b>Retain</b> for 4 years after end of calendar year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM
11-10-62845 Rev. 0	<b>Salary Survey Reports</b> Final results documentation of salary surveys and related correspondence. <i>Note: Replaces DAN 07-09-61613 granted to the former Department of Personnel.</i>	<b>Retain</b> for 35 years after end of calendar year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR



## 7.2 WORKFORCE PLANNING

*The activities of classification, compensation, Director's reviews, and workforce diversity.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62846 Rev. 0	<b>State Officials' Salary Administration</b> Salary schedules, job descriptions, and related correspondence providing necessary input data to set salary maximums of agency directors and board/commission members including final results. <i>Note: Replaces DAN 80-09-25993 granted to the former Department of Personnel.</i>	<b>Retain</b> for 20 years after superseded or discontinued <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
11-10-62848 Rev. 0	<b>Workforce Diversity/Affirmative Action Guidelines</b> Manual of guidelines written by the State HR Office. Used to direct state agencies in writing, implementing and monitoring of Workforce Diversity/Affirmative Action Programs. Official documentation required by Executive Order 93-07. <i>Note: Replaces DAN 82-04-29810 granted to the former Department of Personnel.</i>	<b>Retain</b> for 7 years after superseded <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR



## 8. STATEWIDE ACCOUNTING

This section covers records relating to maintaining state government's statewide accounting systems, central books of accounts and financial databases.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-03-61979 Rev. 0	<b><i>Bond-Related Data</i></b> Bond-related data related to the issuance, management, review, approval and reporting of public bonds, unless otherwise scheduled. (Bond-related records/data must be retained for the life of the bond plus three years) When a new system is developed to replace an existing system, a minimum of thirty-five years of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 35 years after the end of biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
09-03-61976 Rev. 0	<b><i>Financial Data</i></b> Financial data documenting the fiscal and accounting operations of state agencies to manage, account for, collect, and expend public funds, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of five biennia of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 10 years after the end of biennium <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
09-06-62034 Rev. 1	<b><i>Financial Data (Long-Term)</i></b> Financial data documenting the fiscal and accounting operations of state agencies to manage, account for, collect, and expend public funds, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of five biennia of transferable data (when available) is migrated to the new system.	<b>Retain</b> for 10 years after the end of biennium <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88-02-41705 Rev. 1	<b><i>Financial Statements and Policies</i></b> Financial statements and policies issued under the Budget and Accounting Act (Chapter 43.88 RCW). May include the comprehensive annual statewide financial statements (RCW 43.88.027), State Administrative and Accounting Policies and Procedures (RCW 43.88.160), and the Fund Reference Manual (RCW 43.88.160).	<b>Retain</b> for 20 years after end of fiscal year <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
88-02-41707 Rev. 0	<b><i>State Auditor's Report of Examination</i></b> Provides results of post audits of state agencies to assure compliance.	<b>Retain</b> for 5 years after end of fiscal year <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OFM



## 9. LEGACY RECORDS

This section covers records no longer being created or received by the Office of Financial Management (or any predecessor agencies) which have yet to reach their minimum retention period.

### 9.1 FORMER DEPARTMENT OF PERSONNEL

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-10-62849 Rev. 0	<p><b><i>Appeal Files Higher Education Personnel Board (HEPB)</i></b></p> <p>Record of all support data, findings, and conclusions of each appeal filed with the former Higher Education Personnel Board.</p> <p><i>Note: Replaces DAN 92-02-49812 granted to the former Department of Personnel.</i></p>	<p><b>Retain</b> for 25 years after case closed</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR</p>



## GLOSSARY

### ***Appraisal***

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

### ***Archival (Appraisal Required)***

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

*Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.*

### ***Archival (Permanent Retention)***

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

*WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates.*

### ***Disposition***

Actions taken with records when they are no longer required to be retained by the agency.

*Possible disposition actions include transfer to Washington State Archives and destruction.*

### ***Disposition Authority Number (DAN)***

Control numbers systematically assigned to records series or records retention schedules when they are approved by the Local Records Committee.



### **Essential Records**

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

*Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.*

### **Non-Archival**

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

*Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.*

### **Non-Essential Records**

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

### **OFM (Office Files and Memoranda)**

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

*RCW 40.14.010 – Definition and classification of public records.*

*(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”*

### **OPR (Official Public Records)**

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

*RCW 40.14.010 – Definition and classification of public records.*

*(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or*



*any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records."*

### **Public Records**

#### **RCW 40.14.010 – Definition and classification of public records.**

*"... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."*

### **Records Series**

**A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**

### **State Records Committee**

**The committee established by RCW 40.14.050 to review and approve disposition of state government records.**

*Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.*



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